

Serial No.

Docket No. 134199

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Xianrui Huang et al.

: Group Art Unit:

Serial No.:

: Examiner:

Filed:

:

For: PERMANENT MAGNET ASSEMBLY
WITH MOVABLE PERMANENT BODY
FOR MAIN MAGNETIC FIELD ADJUSTMENT

INFORMATION DISCLOSURE STATEMENT

- ☒ 1 **Pursuant to 37 CFR 1.97 (b)**
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- ☐ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**
[On or before issue fee payment] *\$180.00*

ATTN: BOX PATENT APPLICATION

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

The following are submitted in the above identified application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

Date of Deposit

Type or Print Name

Signature

Serial No.

Docket No. 134199

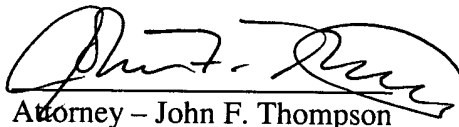
This paper is submitted in accordance with:

- ☒ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- ☐ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☐ 8 The required Certification made in item 11 below; or
- ☐ 9 The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR 1.97(d): [on or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☐ 11 Certification
- ☐ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR §1.56(c) more than three (3) months prior to the filing date of this Statement.
- ☒ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868.

An original and two (2) copies of this document are enclosed.

Respectfully submitted,

September 24, 2003
Date


Attorney – John F. Thompson
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Phone: (518) 387-6275
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General Electric Company
Patent Docket Rm 4A59
P.O. Box 8, Bldg. K-1 – Ross
Schenectady, New York 12301
Customer Number: 006147

FORM PTO-1449
(REV. 7-80)
(Title Amended 3/83)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

134199

SERIAL NO.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT--
LIST OF ITEMS

(Use several sheets if necessary)

Applicant

Xianrui Huang et al.

Filing Date

Group

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA 6 5 2 5 6 3 4	02/25/03	Laskaris			
	AB 6 5 1 8 8 6 7	02/11/03	Laskaris			
	AC 6 5 1 8 7 5 4	02/11/03	Edwards			
	AD 6 4 8 9 8 7 3	12/03/02	Kruip			
	AE 6 4 8 9 8 7 2	12/03/02	Fukushima			
	AF 6 4 6 7 1 5 7	10/22/02	Livni			
	AG 6 4 5 2 4 7 2	09/17/02	Aoki			
	AH 6 4 4 8 7 7 2	09/10/02	Aoki			
	AI 6 4 2 9 7 6 1	08/06/02	Laskaris			
	AJ 6 3 3 3 6 3 0	12/25/01	Holsinger			
	AK 6 3 1 1 3 8 3	11/06/01	Umeda			

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	No
	AL 0 3 1 7 0 6 4 3	07/1991	Japan				
	AM 0 2 1 4 1 5 0 1	05/1990	Japan				
	AN 6 2 3 9 3 9	11/09/94	European Patent Application				
	AO 1 0 1 7 4 6 8 1	06/1998	Japan				
	AP 0 0 4 8 2 0 8	08/17/00	PCT APPLICATION				

OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)

AR	Abstract of Japan 2002-536,842
AS	"Electrical Engineering Concepts and Applications," A. Bruce Carlson et al., Addison-Wesley Publishing Co., 1990, pp. 119-121.
AT	"Magnetic Materials and Their Properties," E.A. Brandes et al., Smithells Metal Reference Book, Butterworth-Heinemann Ltd., 1992, p. 20-6.

EXAMINER

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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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	BA	4	8	2	7	2	3	5	05/02/89	Inomata		
	BB	6	2	8	1	7	7	5	08/28/01	Rapoport		
	BC	6	2	7	5	1	2	8	08/14/01	Aoki		
	BD	6	2	5	9	2	5	2	07/10/01	Laskaris		
	BE	6	2	5	5	6	7	0	07/03/01	Srivastava		
	BF	6	1	9	8	2	8	6	03/06/02	Trequattrini		
	BG	3	8	9	9	7	6	2	08/12/75	Studders		
	BH	5	3	4	3	1	8	0	08/30/94	Fukumoto		
	BI	5	2	5	2	9	2	4	10/12/93	Sakurai		
	BJ	6	1	9	1	5	8	4	02/20/01	Trequattrini		
	BK	6	1	5	0	9	1	1	11/21/00	Katznelson		

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
													YES	No
	BL	0	3	7	1	7	7	5	03/27/96	European Patent Application				
	BM	0	5	4	1	8	7	2	01/26/00	European Patent Application				
	BN	5	2	6	5	1	3		07/24/96	European Patent Application				
	BO	0	5	4	1	6	5	3	05/04/94	European Patent Application				
	BP													

OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)

BR	"Permanent Magnet Assembly and Method of Making Thereof," Laskaris et al., Serial No. 10/309,146 (GE docket RD-28500-4), filed 12/04/02.
BS	"Permanent Magnet Assembly and Method of Making Thereof," Laskaris et al., Serial No. 10/309,139 (GE docket RD-28500-5), filed 12/04/02.
BT	"Multiple Ring Polefaceless Permanent Magnetic and Method of Making," K.M. Amm et al., GE docket 133671.

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	CA	6	1	5	7	2	8	1	12/05/00	Katznelson			
	CB	6	1	6	3	2	4	0	12/19/00	Zuk			
	CC	6	1	2	0	6	2	0	09/19/00	Benz			
	CD	5	2	8	3	5	4	4	02/01/94	Sakurai			
	CE	4	8	1	8	9	6	6	04/04/89	Miyamoto			
	CF	5	3	1	7	2	9	7	05/31/94	Kaufman			
	CG	4	5	4	0	4	5	3	09/10/85	Boredelon			
	CH	5	3	8	3	9	7	8	01/24/95	Yamamoto			
	CI	4	4	9	6	3	9	5	01/29/85	Croat			
	CJ	5	6	8	0	0	8	6	10/21/97	Allis			
	CK	5	6	3	1	6	1	6	05/20/97	Ohta			

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														YES	No
	CL														
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	CN														
	CO														
	CP														

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	DA	6	1	5	7	2	8	1	12/05/00	Katznelson			
	DB	6	1	4	7	5	7	8	11/14/00	Panfil			
	DC	6	1	3	0	5	3	8	10/10/00	Carrozzi			
	DD	5	9	4	2	9	6	2	08/24/99	Gery			
	DE	5	8	2	5	1	8	7	10/20/98	Ohashi			
	DF	5	6	2	3	2	4	1	04/22/97	Minkoff			
	DG	5	4	6	2	0	5	4	10/31/95	Rapoport			
	DH	5	3	3	2	9	7	1	07/26/94	Aubert			
	DI	5	3	2	0	1	0	3	06/14/94	Rapoport			
	DJ	5	2	9	1	1	7	1	03/01/94	Kobayashi			
	DK	5	2	2	9	7	2	3	07/20/93	Sakurai			

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														YES	No
	DL														
	DM														
	DN														
	DO														
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	EA	5	0	6	3	9	3	4	11/12/91	Rapoport			
	EB	4	9	9	8	9	7	6	03/12/91	Rapoport			
	EC	4	9	5	3	5	5	5	09/04/90	Leupold			
	ED	4	9	3	1	7	6	0	06/05/90	Yamaguchi			
	EE	4	7	7	7	4	6	4	10/11/88	Takabatashi			
	EF	4	7	4	1	0	9	4	05/03/88	Denk			
	EG	4	6	7	9	0	2	2	07/07/87	Miyamoto			
	EH	4	6	7	2	3	4	6	06/09/87	Miyamoto			
	EI	4	6	6	7	1	2	3	05/19/87	Denk			
	EJ	2 0	0 0	0 5	2 0	8	9	5	05/02/02	Zuk			
	EK	2 0	0 0	0 1	3 1	4	5	1	01/16/03	Katznelson			

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														YES	No
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	EM														
	EN														
	EO														
	EP														

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		Filing Date	Group

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	FA 20021129	02/21/02	Laskaris			
	FB 6163240	12/19/00	Zuk			
	FC					
	FD					
	FE					
	FF					
	FG					
	FH					
	FI					
	FJ					
	FK					

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DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
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FL						
FM						
FN						
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FP						

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